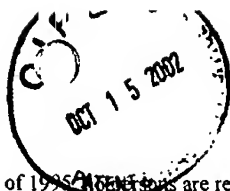


Please type a plus sign (+) inside the box



PTO/SB/08B (08-00)

Approved for use through 10/31/2002. OMB 0651-00

U.S. Patent & Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Action of 1995, respondents are required to respond to a collection of information unless it contains a valid OMB number

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets necessary)		COMPLETE IF KNOWN	
		Application Number	10/086,171
		Filing Date	February 28, 2002
		First Named Inventor	Betts
		Group Art Unit	2874
		Examiner Name	Unknown
SHEET 1	OF 1	Docket Number	MODE1140-1

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (If known)			

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (If known)				
SK		EPO	0388637		Nippon Telegraph and Telephone Corporation	February 16, 1990		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶
SK		International Search Report and Transmittal Notification for related application PCT/US02/11588 dated September 2, 2002	
SK		Patent Abstracts of Japan: Publication No. 03229214, Publication Date 10-11-91, Applicant - Nippon Telegraph and Telephone Corp, entitled "Optical Modulation Element" (1 pg)	
SK		Sanagi and Nakajima, "Quasi-Matched-Velocity Traveling-Wave-Type Electrodes for Light Modulators and Their Analysis", Electronics and Communications in Japan, Part 2, Vol. 70, No. 8, August 1987, XP-002211813 (7 pgs)	
SK		Howerton, Moeller, Greenblatt and Krähenbühl, "Fully Packaged, Broad-Band LiNbO ₃ Modulator with Low Drive Voltage", IEEE Photonics Technology Letters, Vol. 12, No. 7, July 2000, XP-000968672 (3 pgs)	
SK		Noguchi, Mitomi, and Miyazawa, "Push-Pull Type Ridged Ti:LiNbO ₃ Optical Modulator", 2334c IEICE Transactions on Electronics E79-C (1996) January, No. 1, Tokyo, JP, XP-000580155 (5 pgs)	
SK		Gheorma, Savi and Osgood, "Thin Layer Design of X-Cut LiNbO ₃ Modulators", IEEE Photonics Technology Letters, December 1, 2000, XP000981106 (3 pgs)	

Examiner Signature		Date Considered	4/30/03
--------------------	--	-----------------	---------

RECEIVED
 OCT 17 2002
 TECHNOLOGY CENTER 2800

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two letter-code (WIPO Standard ST) ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. ⁶Applicant is to place a check mark here if English language translation attached.

Under the Paperwork Reduction Action of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets necessary)				COMPLETE IF KNOWN	
				Application Number	Unknown
				Filing Date	Herewith
				First Named Inventor	Betts
				Group Art Unit	Unknown
Examiner Name	Unknown				
SHEET	1	OF	1	Docket Number	MODE1140-1

 3C979 U.S. PTO
 10/086171
 02/28/02

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (If known)			
JK		4,807,952		Jaeger et al	02/28/89	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (If known)				

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶

Examiner Signature		Date Considered	4/30/03
--------------------	--	-----------------	---------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two letter-code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.